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## Quality standards for getting started with open access provision of books

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Developed by the National Contact Point Open Access OA2020-DE, Knowledge Unlatched and transcript publishing house with the aim, to provide authors, publishers and libraries a practical guideline describing criteria for the production, distribution and financial participation in the open access provision of books. It is important to know which services can be offered or expected, both for publishers who provide open access services for books and for libraries who want to enable an open access position for books through financial participation.

In order to facilitate the entry into this process, especially for smaller publishers, we propose implementing the recommendations in two phases.

### Formats

- The title will be published in a data format for long-term preservation (e.g. as a PDF/A file with the ISO 19005 standard), ePUB and other formats are desirable.
- The title can also be produced and sold as a print edition.
- The PDF file contains the complete work (cover, frontmatter, backmatter).
- The PDF is bookmarked and searchable.
- The PDF contains a reference to the Creative Commons license and the copyright holder (usually the authors), and if available to the sponsor.
- The complete work receives a DOI and an ISBN, it is desirable to assign DOIs at chapter level.
- DOIs for figures and tables are desirable.

### Metadata

- Metadata includes at least: title, subtitle, author/editor names, ORCID (if possible), organisation affiliation at the time of publication, publication date, publisher, series title, volume number, ISBN, DOI, Creative Commons attribution, abstract, keywords (free or obtained from a classification) and, if available, involved research funder.
- Metadata is provided at least as a CSV file, ideally as an ONIX feed, if possible in the current version, or as some other established format (Dublin Core, DataCite, Crossref).
- Metadata including abstracts, keywords and possible Cover-Thumbnails are provided under a CC0-License.
- Provision of MARC records.

### Platforms/ Accessibility

- Open access books appear in all online formats as free of charge and free of DRM publications (including ePUB and other formats).
- The title must be clearly marked as an open access publication.
- There must be a Creative Commons license notice.
- The publication is available on OAPEN.
- Archiving in personal and institutional repositories is permitted.
- A long-term preservation of the titles in a dark archive takes place.
- Any associated research data and other materials will be archived on a suitable repository and linked in the publication.

## Rights/ Licenses

- The title is published under a Creative Commons license.
- The rights to illustrations and other third-party material in the books have been clarified and do not hinder the provision of the complete work under a Creative Commons license.
- The copyright remains with the authors: Authors and editors grant the publisher simple rights of use and thus retain the right to grant other rights of use to other parties and to publish the publication or parts of it elsewhere.
- Rights information is contained in text form in the imprint and embedded in the file machine-readable.

## Costs for gold open access

- In order to avoid prohibitive prices for open access books, we recommend a transparent presentation of costs by the publisher based on the requirements of the title.

## PR/ Communication/ Media

- The publisher names a contact person for its open access programme.
- Inclusion of open access editions in all publishing media, synchronized with the publication of the print edition.
- The publisher advises and motivates authors on gold open access publications (including rights questions and CC-Licenses).
- The publication is promoted and available on the website of the publisher or partner publisher and, if applicable, on appropriate social media channels.
- Reviews are acquired and published.

## Distribution of open access titles

- Registering DOIs with Crossref by reporting all metadata.
- Delivery of data to DOAB (covered by OAPEN).
- As part of the compulsory levy, data are supplied to the German National Library and the respective state libraries.
- In addition to the DNB, the titles are provided in corresponding databases such as OAPEN and DOAB. In addition, the highest possible dissemination and visibility is sought via the entry in other databases such as JSTOR, MUSE, specialist databases and discovery services as well as book trading platforms.

## Usage statistics

- Quarterly provision of usage data according to the COUNTER standard.
- Quarterly provision of additional usage data (outside IP usage) desirable (e.g. Altmetrics).

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## Strengthening the quality standards for the open access provision of books

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The quality standards recommended for the first phase also apply to the next phase of their expansion. The following points are added:

### Quality assessment

- All titles have been scientifically proved or selected by a panel.
- The peer review can be provided by the publisher if required.
- Only after a positive evaluation the title is considered for publication; in addition, all titles undergo a plagiarism check.
- Information about the publisher's selection and evaluation criteria is publicly available.
- There is an openness to new, innovative forms of quality assurance, such as Open Peer Review.

### Machine readability/ text and data mining

- If possible, publications should be machine-readable (XML) for research purposes and should be prepared and made available by the publisher or an appropriate service provider.
- The publisher permits authorized users to operate text and data mining (TDM) via suitable formats and interfaces. This includes automatic downloading, extraction and indexing of full texts by researchers.

**November, 2018**

Updated Version of the "Recommendations on quality standards for the open access provision of books" presented by Knowledge Unlatched, the transcript publishing house and the National Contact Point Open Access. The representation of German-speaking university publishers has also dealt with quality standards for open access monographs: [http://blog.bibliothek.kit.edu/ag\\_univerlage/](http://blog.bibliothek.kit.edu/ag_univerlage/) (only german).

Link to Version 1:

[https://oa2020-de.org/assets/files/OA2020-DE&KU\\_recommendations\\_qualitystandards\\_oabooks.pdf](https://oa2020-de.org/assets/files/OA2020-DE&KU_recommendations_qualitystandards_oabooks.pdf).